



Practitioner's Docket No.: 782\_202 DIV2

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re the application of: Yuji HORI, Tomohiko SHIBATA, Osamu ODA and  
Mitsuhiko TANAKA

Ser. No.: 10/690,290

Art Unit: 2814

Filed: October 21, 2003

Examiner: Ngan V. Ngo

Conf. No.: 4572

For: A SEMICONDUCTOR ELEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

"EXPRESS MAIL" mailing label number EL 994436114 US.

I hereby certify that this paper or fee is being deposited on *April 7, 2004* with the  
United States Postal Service "Express Mail Post Office to Addressee" service  
under 37 CFR §1.10 addressed to: Commissioner for Patents, P.O. Box 1450,  
Alexandria, VA 22313-1450.

*Elizabeth A. VanAntwerp*  
Elizabeth A. VanAntwerp

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR §1.97(d)**

**TIME OF TRANSMITTAL OF ACCOMPANYING  
INFORMATION DISCLOSURE STATEMENT**

1. The information disclosure statement transmitted herewith is being filed *after*:

- (1) a final action under §1.113,
- (2) a notice of allowance under §1.311, or
- (3) an Office Action that closes prosecution ,

but before, or simultaneously with, the payment of the issue fee.

**STATEMENT AND FEE**

2. In accordance with the requirements of 37 CFR §1.97(d):

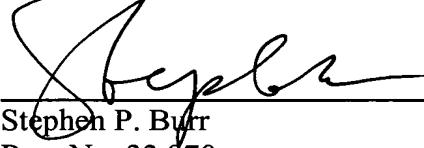
- A. Accompanying this transmittal is a statement, as specified in 37 CFR §1.97(e).
- B. Applicant(s) submit(s) the submission fee set forth in §1.17(p) (\$180.00).

**METHOD OF PAYMENT OF FEE**

3.  Attached is a check in the amount of \$180.00.  
 Charge Account 50-1446 in the amount of \_\_\_\_\_.  
A duplicate of this paper is attached.

If any additional fees are due, please charge Deposit Account 50-1446.

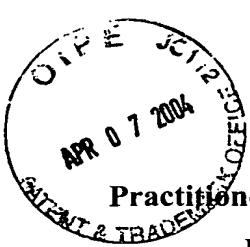
Respectfully submitted,

  
\_\_\_\_\_  
Stephen P. Burr  
Reg. No. 32,970

SPB/eav

BURR & BROWN  
P.O. Box 7068  
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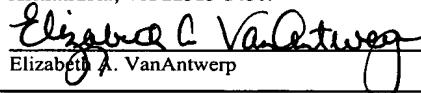
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Elizabeth A. VanAntwerp

**CERTIFICATION UNDER 37 CFR §1.97(e)**

Sir:

- [x] Each item of information contained in the Information Disclosure Statement filed herewith was *first* cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

OR

- [ ] No item of information in the Information Disclosure Statement filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Respectfully submitted,

  
Stephen P. Burr  
Reg. No. 32,970

April 7, 2004

Date

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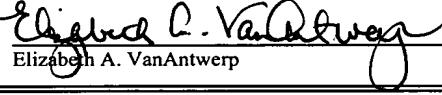
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Alexandria, VA 22313-1450.

  
Elizabeth A. VanAntwerp

INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §1.56, the attention of the Patent and Trademark Office is  
hereby directed to the references listed on the attached Form PTO-1449. Copies of each of  
the references listed on Form PTO-1449 are attached. In accordance with the Notice dated  
July 11, 2003 on the PTO website, we are not enclosing copies of any of the U.S. references  
listed on Form PTO-1449.

Also enclosed is a copy of a European Search Report bearing a mailing date of  
March 2, 2004 from a corresponding European patent application, and the U.S. PTO is  
directed thereto for a concise statement of possible relevance of the references cited therein.

The above information is presented so that the Patent and Trademark Office may, in  
the first instance, determine any materiality thereof to the claimed invention. It is  
respectfully requested that the information be expressly considered during the prosecution of

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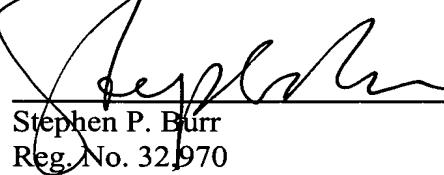
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this application, and that these references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

The Commissioner is hereby authorized to charge any additional fees associated with this communication or credit any overpayment to Deposit Account No. 50-1446.

Respectfully submitted,

  
Stephen P. Burr  
Reg. No. 32,970

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

<i>Complete if Known</i>	
Application Number	10/690,290
Filing Date	October 21, 2003
First Named Inventor	Yuji HORI
Art Unit	2814
Examiner Name	Ngan V. Ngo
Confirmation No.	4572

Sheet 1 of 1 Attorney Docket No. 782\_202 DIV2

**U.S. PATENT DOCUMENTS**

Exam. Initial		Document Number	Date	Name	Our Docket No.	Class	Sub Class	Filing Date
	<i>AA*</i>	5,990,495	11-23-1999	Ohba, Yasuo				
	<i>AB*</i>	6,064,082	05-16-2000	Kawai et al.				
	<i>AC*</i>	5,810,925	09-22-1998	Tadatomo et al.				

**U.S. COPENDING APPLICATIONS**

Exam. Initial		Application/ Publication Number	Filing/ Publication Date	Inventor Name	Our Docket No.	Class	Sub Class

**FOREIGN PATENT DOCUMENTS**

		Document Number	Date	Country	Class	Sub Class	Translation	Abstract
	<i>AD</i>	WO 98/35388	08-13-1998	US				

**OTHER DOCUMENTS**  
(Including Author, Title, Date, Pertinent Pages etc.)

<i>AE</i>	M.A. Khan et al., "High Electron Mobility Transistor Based on a GaN-Al <sub>x</sub> /Ga <sub>1-x</sub> N Heterojunction," Applied Physics Letters, 30 August 1993, USA, Vol. 63, No. 9, pages 1214-1215, XP002269124
<i>AF</i>	P. Kung et al., "High Quality AlN and GaN Epilayers Grown on (pp.1) Sapphire, (100) and (111) Silicon Substrates," Applied Physics Letters, American Institute of Physics, NY, US, Vol. 66, No. 22, 29 May 1995, pages 2958-2960, XP000507525

Examiner:	Date Considered:
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**EXAMINER:** Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

\*In accordance with the Notice dated July 11, 2003 on the PTO website, we are not enclosing copies of any of the U.S. references listed above.